



#13

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT****Complete if Known**

Application No.	09/633,575
Filing Date	August 7, 2000
First Named Inventor	Pawan Goyal
Art Unit	2663
Examiner Name	Chau T. Nguyen
Attorney Docket Number	21816-04466

Sheet 1 of 1

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document No. Number – Kind Code ² (if known)	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
JNM ↓	A	US-6,393,484 B1	05/21/2002	Massarani
	B	5,978,373	11/02/1999	Hoff et al.
	C	5,920,699	07/06/1999	Bare

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FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ – Number ⁴ Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T ⁶
JNM ↓					

OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ⁶
JNM ↓			

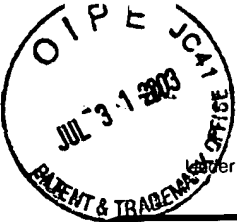
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Examiner Signature	Jm N Moore	Date Considered	12/5/03
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Sheet	1	of	2	Attorney Docket Number	21816-04466

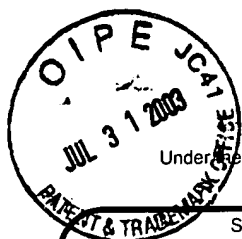
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Examiner Initials*	Cite No. ¹	Document No. Number – Kind Code ² (if known)	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
DNM ↓	A	US-6,553,413	04-22-2003	Leighton et al.
	B	US-6,529,950	03-04-2003	Lumelsky et al.
	C	US-6,499,137	12-24-2002	Hunt
	D	US-6,487,578	11-29-2002	Ranganathan
	E	US-6,434,631	08-13-2002	Bruno et al.
	F	US-6,385,638	05-07-2002	Baker-Harvey
	G	US-6,363,053	03-26-2002	Schuster et al.
	H	US-6,353,616	03-05-2002	Elwalid et al.
	I	US-6,351,775	02-26-2002	Yu
	J	US-6,336,138	01-01-2002	Caswell et al.
	K	US-6,327,622	12-04-2001	Jindal et al.
	L	US-6,314,558	11-06-2001	Angel et al.
	M	US-6,286,047	09-04-2001	Ramanathan et al.
	N	US-6,282,703	08-28-2001	Meth et al.
	O	US-6,279,040	08-21-2001	Ma et al.
	P	US-6,279,039	08-21-2001	Bhat et al.
	Q	US-6,247,057	06-12-2001	Barrera
	R	US-6,240,463	05-29-2001	Benmohamed et al.
	S	US-6,230,203	05-08-2001	Koperda et al.
	T	US-6,172,981	01-09-2001	Cox et al.
U	US-6,154,778	11-28-2000	Koistinen et al.	
V	US-6,154,776	11-28-2000	Martin	
W	US-6,108,701	08-22-2000	Davis et al.	
X	US-6,094,674	07-25-2000	Hattori, et al.	
Y	US-6,092,178	07-18-2000	Jindal et al.	

Examiner Signature	DNM N None	Date Considered	12/15/03
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PTO/SB/08A (10-01)
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#12

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		First Named Inventor		Pawan Goyal	
		Art Unit		2663	
Examiner Name		Chau T. Nguyen		AUG 01 2003	
Sheet 2 of 2		Attorney Docket Number		21816-04466 Technology Center 2600	

U.S. PATENT DOCUMENTS				
Examiner Initials*	Cite No. ¹	Document No. Number – Kind Code ² (if known)	Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
JNM	Z	US-6,055,617	04-25-2000	Kingsbury
	AA	US-6,038,609	03-14-2000	Geulen
	BB	US-6,038,608	03-14-2000	Katsumanta
	CC	US-5,999,963	12-07-1999	Bruno et al.
	DD	US-5,987,524	11-16-1999	Yoshida et al.
	EE	US-5,933,603	08-03-1999	Vahalia, et al.
	FF	US-5,915,095	06-22-1999	Miskowiec
	GG	US-5,905,859	05-18-1999	Holloway, et al.
	HH	US-5,799,173	08-25-1998	Gossler et al.
	II	US-5,719,854	02-17-1998	Choudhury et al.
	JJ	US-5,640,595	06-17-1997	Baughner et al.

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		Foreign Patent Document			
Examiner Initials*	Cite No. ¹	Country Code ³ – Number ⁴ Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T ⁶
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OTHER REFERENCES – NON-PATENT LITERATURE DOCUMENTS					
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JNM	KK	Symbol Table, [online] copyright 1997, 1998, [Retrieved on April 4, 2003] [Retrieved from the internet < URL: http://216.239.33.100/search?q=cache:eASXk8qC_-AC:www.caldera.com/developers/gabi/1998-04-29/ch4.s...], Pages 1-5			
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Examiner Signature	JNM N More	Date Considered	12/5/03
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Sheet 1 of 2

FORM PTO-1449
(REV. 6-89)U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

Attorney's Docket No.

21816-004466

Serial No.

09/633,575

INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

Applicant

Pawan Goyal et al.

Filing Date

August 7, 2000

Group Art Unit

2663

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Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
9NM	A	US 6,192,389 B1	02/20/01	Ault et al.	709	101	03/28/97
	B	US 6,192,512 B1	02/20/01	Chess	717	5	09/24/98
	C	6,167,520	12/26/00	Touboul	713	200	01/29/97
	D	6,108,759	08/22/00	Orcutt et al.	711	173	09/17/97
	E	6,065,118	05/16/00	Bull et al.	713	200	09/24/96
	F	6,023,721	02/08/00	Cummings	709	201	05/14/97
	G	5,956,481	09/21/99	Walsh et al.	395	186	
	H	5,937,159	08/10/99	Meyers et al.	395	187.01	
	I	5,918,018	06/29/99	Gooderum et al.	395	200.55	
	J	5,915,085	06/22/99	Koved	395	186	
	K	5,913,024	06/15/99	Green et al.	395	186	
	L	5,845,129	12/01/98	Wendorf et al.	395	726	
	M	5,842,002	11/24/98	Schnurer et al.	395	500	
	N	5,838,916	11/17/98	Domenikos et al.	395	200.49	
	O	5,828,893	10/27/98	Weid et al.	395	800	
	P	5,809,527	09/15/98	Cooper et al.	711	133	
	Q	5,781,550	07/14/98	Templin et al.	370	401	
	R	5,761,477	06/02/98	Wahbe et al.	395	406 A	
	S	5,706,097	01/06/98	Schelling et al.	358	296	
	T	5,692,047	11/25/97	McManis	380	4	
	U	5,636,371	06/03/97	Yu	395	500	
	V	5,603,020	2/11/97	Hashimoto et al.	395	616	
	W	5,263,147	11/16/93	Francisco et al.	395	425	
	X	4,177,510	12/04/79	Appell et al.	364	200	
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Sheet 2 of 2

FORM PTO-1449
(REV. 6-89)U.S. DEPARTMENT OF COMMERCE
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Serial No.

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INFORMATION DISCLOSURE CITATION

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Applicant

Pawan Goyal et al.

Filing Date

August 7, 2000

Group Art Unit

2663

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9NM	Z	Boehm, B., "Managing Software Productivity and Reuse," IEEE Computer, Volume 32, Number 9, September 1999, 3 pages
	AA	Corbato, F. J. et al. "An Experimental Timesharing System," Proceedings of the American Federation Of Information Processing Societies Spring Joint Computer Conference, San Francisco, CA, May 1-3, 1962, pp 335-344
	BB	Deutsch, P. and Grant, C.A., "A Flexible Measurement Tool for Software Systems," Information Processing 71 (Proc. of the IFIP Congress), 1971, pp. 320-326
	CC	Edjlali, G., et al., "History-based Access Control for Mobile Code," Fifth ACM Conference on Computer and Communication Security, November 3-5, 1998, 19 pages
	DD	Erlingsson, U. and Schneider, F. B., "SASI Enforcement of Security Policies: A Retrospective," Proc. New Security Paradigms Workshop, April 2, 1999, pp 1-17
	EE	Erlingsson, U. and Schnieder, F. B., IRM Enforcement of Java Stack Inspection, [online], February 19, 2000, [retrieved on 04/02/2002]. Retrieved from the Internet: <URL: http://cs-tr.cs.cornell.edu/Dienst/UI2.0/Show Page/ncstrl.cornell/TR2000-1786 >
	FF	Evans, D. and Twyman, A., "Flexible Policy-Directed Code Safety," Proc. of 1999 IEEE Symposium on Security and Privacy, Oakland, CA, May 9-12, 1999, pages 1-14
	GG	Fraser, T. et al., "Hardening COTS Software with Generic Software Wrappers," Proc. of 1999 IEEE Symposium on Security and Privacy, 1999, 15 pages
	HH	Goldberg, I. et al., "A Secure Environment For Untrusted Helper Applications (Confining the Wily Hacker)," Proc. of the Sixth USENIX UNIX Security Symposium, San Jose, CA, July 1996, 14 pages
	II	Goldberg, R. P., "Survey of Virtual Machine Research," IEEE Computer, June 1974, pp 34-45
	JJ	Pandey, R. and Hashii, B., "Providing Fine-Grained Access Control For Mobile Programs Through Binary Editing," Technical Report TR98 08, University of California, Davis, CA, 1998, pp 1-22
	KK	Ritchie, D. M., "The Evolution of the Unix Time-Sharing System," AT&T Bell Laboratories Technical Journal 63, No. 6, Part 2, October 1984, (originally presented 1979), 11 pages
	LL	Saltzer, J., H. and Schroeder, M. D., The Protection of Information in Computer Systems, [online], 1973, [retrieved on 04/02/2002]. Retrieved from the Internet: <URL: http://www.cs.virginia.edu~evans/cs551/saltzer/ >
	MM	Wahbe, R., et al., "Efficient Software-Based Fault Isolation," Proc. of the Symposium on Operating System Principles, 1993, 14 pages

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EXAMINER: Initial if references considered, whether or not citation is in conformance with MPEP § 609; Draw line through citation if not in conformance and not considered.

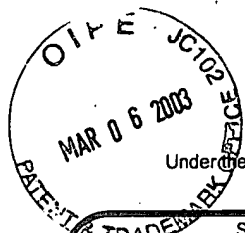
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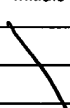
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D NM ↓	A	5,528,753	06/18/1996	Fortin
	B	5,226,160	07/06/1993	Waldron et al.
		US-		
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D NM ↓	C	WO 99/39261	08/05/1999	The Learning Company	

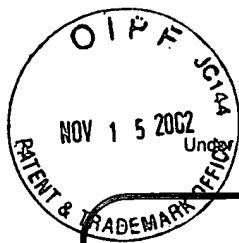
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Examiner Signature	<i>Dm N. Moore</i>	Date Considered	12/5/03
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#10

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JNM	A	US-5,212,793	05/18/1993	Donica et al.
	B	US-5,249,290	09/28/1993	Heizer
	C	US-5,437,032	07/25/1995	Wolf et al.
	D	US-5,584,023	12/10/1996	Hsu
	E	US-5,706,453	01/06/1998	Cheng et al.
	F	US-5,708,774	01/13/1998	Boden
	G	US-5,860,004	01/12/1999	Fowlow et al.
	H	US-6,086,623	07/11/2000	Broome et al.
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(REV. 6-89)

U.S. DEPARTMENT OF COMMERCE
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Serial No.
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INFORMATION DISCLOSURE CITATION

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Group Art Unit
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FOREIGN PATENT DOCUMENTS

Document Number	Date	Country	Class	Subclass	Translation
					Yes No
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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

9NM	A	Pending United States patent application entitled "Providing Quality of Service Guarantees to Virtual Hosts," serial number 09/452,286, filing date November 30, 1999
/	B	Pending United States patent application entitled "Selective Interception of System Calls," serial number 09/499,098, filing date February 4, 2000
	C	Pending United States patent application entitled "Dynamic Scheduling of Task Streams in a Multiple-Resource System to Ensure Task Stream Quality of Service," serial number 09/498,450, filing date February 4, 2000
	D	Pending United States patent application entitled "Disambiguating File Descriptors," serial number 09/500,212, filing date February 8, 2000
	E	Pending United States patent application entitled "Restricting Communication Between Network Devices on a Common Network," serial number 09/502,155, filing date February 11, 2000
	F	Pending United States patent application entitled "Restricting Communication of Selected Processes to a Set of Specific Network Addresses," serial number 09/503,975, filing date February 14, 2000
	G	Pending United States patent application entitled "Enabling a Service Provider to Provide Intranet Services," serial number 09/526,980, filing date March 15, 2000
	H	Pending United States patent application entitled "Dynamically Modifying the Resources of a Virtual Server," serial number 09/569,371, filing date May 11, 2000
	I	Pending United States patent application entitled "Regulating File Access Rates According to File Type," serial number 09/572,672, filing date May 16, 2000
	J	Pending United States patent application entitled "Modifying Internal Components of a Running Operating System," serial number 09/576,393, filing date May 22, 2000
✓	K	Pending United States patent application entitled "Associating Identifiers With Virtual Processes," serial number 09/611,877, filing date July 7, 2000

EXAMINER

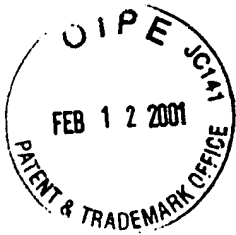
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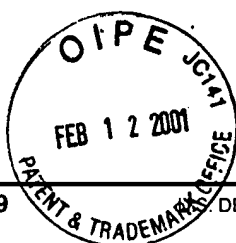
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Sheet 2 of 2

FORM PTO-1449 (REV. 6-89)		U.S. DEPARTMENT OF COMMERCE Patent and Trademark Office		Attorney's Docket No. 21816-04466		Serial No. 09/633,575	
INFORMATION DISCLOSURE CITATION (Use several sheets if necessary)				Applicant Pawan Goyal, et al.		Filing Date August 7, 2000	
				Group Art Unit 2731			
U.S. PATENT DOCUMENTS							
Examiner Initial		Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
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		Document Number	Date	Country	Class	Subclass	Translation Yes No
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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)							
9m	P	Plummer, D. C., <i>An Ethernet Address Resolution Protocol -- or -- Converting Network Protocol Addresses to 48.bit Ethernet Address for Transmission on Ethernet Hardware</i> , November 1982, [online], [retrieved on 1-17-2000]. Retrieved from the Internet: <URL: http://www.msg.net/kadow/answers/extras/rfc/rfc826.txt >					
/	Q	Huang, X. W. et al., "The ENTRAPID Protocol Development Environment," <i>Proceedings of IEEE Infocom'99</i> , March 1999, nine pages					
/	R	Duffield, N.G., et al., "A Flexible Model for Resource Management in Virtual Private Networks," <i>Computer Communication Review Conference, Computer Communication, ACM SIGCOMM '99 Conference</i> , Cambridge, MA, 8/30/99-9/3/99. pp 95-108					
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	Applicant Pawan Goyal, et al.			
	Filing Date August 7, 2000		Group Art Unit 2731	

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Document Number	Date	Country	Class	Subclass	Translation
					Yes No


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	Applicant Pawan Goyal			
	Filing Date August 7, 2000		Group Art Unit Not Yet Known	

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